



02/02/01

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Express Mail Label No. EL713625035US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Thomas A. Rhee

Serial No: Not Assigned

Filed: February 2, 2001

For: REAL LIFE IMPLEMENTATION OF MODERN PORTFOLIO THEORY (MPT)  
FOR FINANCIAL PLANNING AND PORTFOLIO MANAGEMENT

Box PATENT APPLICATION

Commissioner for Patents

Washington, D.C. 20231

Dear Sir:

Transmitted herewith for filing is the patent application identified above.

- ☒ 9 sheets of drawings (☒ formal ☐ informal) are enclosed.
- ☒ 30 pages of specification and 1 page of abstract of the invention are enclosed.
- ☒ An assignment of the invention to ☐ is enclosed ☒ will follow.
- ☐ A verified statement to establish small entity status under 37 C.F.R. 1.9 and 1.27 is enclosed.
- ☒ Declaration and Power of Attorney ☒ is enclosed ☐ will follow.
- ☐ A certified copy of ☐ Patent Application No. ☐ filed ☐ from which priority is claimed under 35 U.S.C. § 119 is enclosed.
- ☐ IDS enclosed (☐ with ☐ reference(s)).
- ☐ Preliminary Amendment is enclosed.
- ☒ Return postcard is enclosed.

## CALCULATION OF FEES

| ITEM   | TOTAL NO. OF CLAIMS |     | NO. OF CLAIMS OVER BASE | LG/SM \$ ENTITY FEE                                  | \$ AMOUNT | \$ FEE |
|--|---------------------|-----|-------------------------|--|-----------|--------|
| A TOTAL CLAIMS FEE   | (35)36              | -20 | 16                      | LG=\$18<br>SM=\$9                                    | \$9       | \$144  |
| B INDEPENDENT CLAIMS FEE*  | 2                   | -3  | 0                       | LG=\$80<br>SM=\$40                                   | \$0       | 0      |
| C SUBTOTAL - ADDITIONAL CLAIMS FEE (ADD FINAL COLUMN IN LINES A + B) |                     |     |                         |  |           | \$144  |
| D MULTIPLE-DEPENDENT CLAIMS FEE                                      |                     |     |                         | LARGE ENTITY FEE = \$270<br>SMALL ENTITY FEE = \$135 |           | \$135  |
| E BASIC FEE  |                     |     |                         | LARGE ENTITY FEE = \$710<br>SMALL ENTITY FEE = \$355 |           | \$355  |
| F TOTAL FILING FEE (ADD TOTALS FOR LINES C, D, AND E)                |                     |     |                         |  |           | \$634  |
| G ASSIGNMENT RECORDING FEE   |                     |     |                         |  | \$ 40     |        |
| *LIST INDEPENDENT CLAIMS 1, 11                                       |                     |     |                         |  |           |        |

- ☐ Please charge my Deposit Account No. 50-1314 the amount of \$ \_\_\_\_\_. A copy of this letter is enclosed.
- ☒ A check in the amount of \$ 634.00 to cover the filing fee is enclosed.
- ☐ A check in the amount of \$ \_\_\_\_ to cover Assignment Recordation fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any deficiency for the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-1314. **A copy of this sheet is enclosed.**
- ☒ Any additional filing fees required under 37 C.F.R. 1.16
- ☒ Any patent application processing fees under 37 C.F.R. 1.17
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 50-1314. **A copy of this letter is enclosed.**
- ☒ Any patent application processing fees under 37 C.F.R. 1.17
- ☐ The issue fee set in 37 C.F.R. 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b)
- ☒ Any filing fees under 37 C.F.R. 1.16 for presentation of extra claims
- Please associate this case with the attorneys of record.

Respectfully submitted,  
HOGAN & HARTSON L.L.P.

By:

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Date: February 2, 2001

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